

Abstract

Device for detecting polarization mode dispersion

Device for detecting polarization mode dispersion of an optical data signal (OS), which has at least one EXOR gate (EXj;  $j = 1 \dots n$ ) together with an averaging device (LPj;  $j = 1 \dots n$ ) for measuring at least one value (AKFj;  $j = 1 \dots n$ ) of the autocorrelation function of a baseband signal (BB) distorted by polarization mode dispersion.

Figure 1

## TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

112740-387

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/019526

INTERNATIONAL APPLICATION NO.

PCT/DE00/01175

INTERNATIONAL FILING DATE

14 April 2000

PRIORITY DATE CLAIMED

28 June 1999

TITLE OF INVENTION

DEVICE FOR DETECTING POLARIZATION MODE DISPERSION

APPLICANT(S) FOR DO/EO/US

Reinhold Noe

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☒ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

## Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☒ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☒ Certificate of Mailing by Express Mail
23. ☐ Other items or information:

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.101) <b>10/019526</b>		INTERNATIONAL APPLICATION NO. <b>PCT/DE00/01175</b>		ATTORNEY'S DOCKET NUMBER <b>112740-387</b>	
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24. The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :</b>				<b>CALCULATIONS PTO USE ONLY</b>	
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$1040.00</b>					
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<b>CLAIMS</b>		<b>NUMBER FILED</b>		<b>NUMBER EXTRA</b>	
<b>RATE</b>					
Total claims		15 - 20 =		x \$18.00 <b>\$0.00</b>	
Independent claims		1 - 3 =		x \$84.00 <b>\$0.00</b>	
Multiple Dependent Claims (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$890.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				<b>\$0.00</b>	
<b>SUBTOTAL =</b>				<b>\$890.00</b>	
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<b>TOTAL NATIONAL FEE =</b>				<b>\$890.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>				<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$890.00</b>	
				Amount to be: refunded \$	
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**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

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IN THE UNITED STATES ELECTED/DESIGNATED OFFICE  
OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
UNDER THE PATENT COOPERATION TREATY-CHAPTER II

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**PRELIMINARY AMENDMENT**

APPLICANTS: Reinhold Noe DOCKET NO.: 112740-387  
SERIAL NO: GROUP ART UNIT:  
FILED: EXAMINER:  
INTERNATIONAL APPLICATION NO.: PCT/DE00/01175  
INTERNATIONAL FILING DATE 14 April 2000  
INVENTION: DEVICE FOR DETECTING POLARIZATION MODE  
DISPERSION

Assistant Commissioner for Patents,  
Washington, D.C. 20231

10

Sir:

Please amend the above-identified International Application before entry  
into the National stage before the U.S. Patent and Trademark Office under 35  
U.S.C. §371 as follows:

15

**In the Specification:**

Please replace the Specification of the present application, including the  
Abstract, with the following Substitute Specification:

## SPECIFICATION

## TITLE OF THE INVENTION

20

DEVICE FOR DETECTING POLARIZATION MODE DISPERSION

## BACKGROUND OF THE INVENTION

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Long optical waveguide transmission links are used in optical transmission  
technology. Production dictates that the optical waveguides are not completely  
isotropic, but rather weakly birefringent. The long transmission link results in  
frequency-dependent polarization transformation, called polarization mode  
dispersion or polarization dispersion, abbreviated to PMD. Through the change in

the polarization of the optical signal as a function of the optical frequency and, associated therewith, different frequency-dependent delays, this PMD leads to the widening of transmitted pulses. As such, at the receiving end, the identifiability of the pulses is reduced and, as a result, the transmitted data rate is limited. The term

5 “principal states of polarization”, referred to as PSP below, designates those two states of polarization which are orthogonal to one another and to a first approximation do not change when the optical frequency changes. In polarization-maintaining optical waveguides, the principal states of polarization coincide with the principal axes; in other words, are horizontal and vertical. In general, however,

10 the principal states of polarization are arbitrary orthogonal pairs of elliptic states of polarization. The principal states of polarization have different group delays, whose difference is referred to as “differential group delay”, DGD below. If an optical signal is transmitted with one principal state of polarization, then, to a first-order approximation, no pulse widening takes place. If it is transmitted with a

15 polarization which, in the case of splitting according to the two principal states of polarization, corresponds to power components that are identical there, maximum pulse widening occurs because two pulses of identical strength, with delay differences equal to DGD, are superposed. If the principal states of polarization change as a function of the optical frequency, then it is the case, however, that,

20 when a principal state of polarization which corresponds to a specific frequency is used on the input side, the output state of polarization will nevertheless change as a function of the frequency, but actually only in a higher order than the first order. This is referred to as higher-order PMD. Higher-order PMD generally occurs, although first-order PMD is predominant due to its effects and, therefore, must be

25 compensated preferentially. This is aggravated by the fact that the transmission response of the link, and hence the PMD too, changes as a result of temperature change or mechanical stress. Therefore, use is made of adaptive PMD compensators which are inserted in the transmission path. To drive these compensators, PMD distortions must be detected in the optical receiver. The

30 compensator can then be set optimally using a gradient algorithm, for example.

In Electronic Letters, February 17, 1994, Volume 30, no. 4, pages 348 to 349, use is made of a bandpass filter for filtering a data signal whose PMD is to be detected. A power detector at the filter output supplies a signal which is higher, the smaller the PMD distortions are. In Electron. Lett. 34(1998) 23, pages 2258 to 2259, use is made of a combination of a number of bandpass filters with downstream power detectors, in which case, instead of individual signals, it is also possible to use a linear combination of the signals. By using bandpass filters having different center frequencies, it becomes possible, at the same time, to detect even relatively large PMD distortions which exceed, e.g., a bit duration of the signal. However, bandpass filters are poorly suited to monolithic integration; for example, in Si or SiGe. Moreover, unavoidable group delay distortions in the bandpass filters have the result that optimal PMD detection and hence equalization is not possible.

In Proceedings OEC 94, 14e-12, pages 258 to 259, Makuhari Trade Fair, Japan 1994, a different method is used, in which the power of the differential signal between decision-circuit output and decision-circuit input is evaluated. Incorrect decisions may occur, however, particularly in the event of severe PMD distortions in which the DGD exceeds the bit duration, so that the signal obtained in such cases is an unsuitable criterion for the presence of PMD distortions.

An object of the present invention, therefore, is to specify a reliable detector even for relatively large values of the differential group delay which can be integrated in a simple manner and, unlike bandpass filters, is not subject to intrinsic distortions through group delay distortions.

#### SUMMARY OF THE INVENTION

According to the present invention, use is made of EXCLUSIVE-OR gates (EXOR) or multipliers, which are used to determine essential parts of the autocorrelation function of the baseband signal present in the electrical part of an optical receiver. A particular advantage of the present invention is that EXOR gates can be monolithically integrated in a simple manner.

With EXOR gates which are separated by delay lines, the autocorrelation function values are produced for different time delays.

In an advantageous exemplary embodiment, two delay lines that are to be traversed in opposite directions are used, which can be implemented in a particularly space-saving manner and, moreover, at least approximately compensate the line losses.

5 Additional features and advantages of the present invention are described in, and will be apparent from, the following Detailed Description of the Invention and the Figures.

#### BRIEF DESCRIPTION OF THE FIGURES

10 Figure 1 shows a device according to the present invention for PMD detection, supplemented by PMD compensator and further assemblies.

Figure 2 shows a poor and a good sampled autocorrelation function.

Figure 3 shows a further exemplary embodiment of a device for PMD detection.

Figure 4 shows a variant of delay lines.

15 Figure 5 shows a further variant of a delay line.

Figure 6 shows a regenerator connected to a regulator.

#### DETAILED DESCRIPTION OF THE FIGURES

Figure 1 shows a system for optical PMD compensation having an optical input IN and an optical output OUT. An optical wave OS, coming from the input  
20 IN, traverses firstly an adjustable optical PMD compensator PMDC and then a power divider LT. One output of the power divider forms the optical output OUT of the system and the other drives a photodiode PD. After electrical amplification in amplifier V, the baseband signal BB is fed to an electrical power divider LTE.

The outputs of the electrical power divider are fed to two tapped delay lines LZ1,  
25 LZ2. The ends of the delay lines are provided with terminating resistors R1, R2 in accordance with the characteristic impedance. A tap A1j ( $j = 1 \dots n$ ) of the line LZ1 is respectively fed to one input and a tap A2j ( $j = 1 \dots n$ ) of the line LZ2 is respectively fed to the other input of an EXOR gate EXj ( $j = 1 \dots n$ ).

Instead of EXOR gates, any other multiplier circuits are also suitable.  
30 Gilbert multipliers are particularly suitable as EXOR gates/multipliers. A suitable circuit, in this case with field-effect transistors, is presented, for example, in

Electronics Letters, August 15, 1991, Volume 27, no. 17, pages 1529 to 1532, to be precise in Fig. 3 therein.

- The taps are arranged according to a rising index  $j$  on one of the lines (LZ1) and according to a falling index  $j$  on the other line (LZ2). The result of this is that
- 5 the delay difference between the signals at the inputs of an EXOR gate EX $j$  changes monotonically with rising index  $j$ . If the line lengths between all the adjacent taps of a respective line are equal, then equidistant delay differences which change monotonically in accordance with index  $j$  are produced. Low-pass filters LP $j$  ( $j = 1 \dots n$ ) are respectively connected to the outputs of the EXOR gates EX $j$ .
- 10 Instead of low-pass filters, other circuits which can be used for averaging, such as integrators, for example, which integrate over a defined time duration, are also suitable. These are also referred to as "Integrate-and-Dump" circuits. The output signals of the low-pass filters specify the values of the autocorrelation function of the electrical signal BB which are measured for different delay differences.
- 15 In order to compensate the losses at the taps A1 $j$ , A2 $j$ , to suppress multiple reflections on the delay lines LZ1, LZ2 and to obtain a longer signal delay for given dimensions, buffer amplifiers V1 $j$ , V2 $j$  ( $j = 1 \dots n$ ) may be inserted into the delay lines LZ1, LZ2. However, they are not absolutely necessary.
- Since balanced circuitry with differential inputs and push-pull outputs
- 20 affords numerous advantages, it is favorable to use it here, too. By way of example, amplifier V, power divider LTE, delay lines LZ1, LZ2, buffer amplifiers V1 $k$ , V2 $k$ , taps A1 $j$ , A2 $j$ , terminating resistors R1, R2, EXOR gates EX $j$  and low-pass filters LP $j$  may be of balanced design. The last-mentioned literature reference describes how this is done for, e.g., an EXOR gate.
- 25 EXOR gates EX $j$  and at least parts of the delay lines LZ1, LZ2 including taps A1 $j$ , A2 $j$  and terminating resistors R1, R2 and, if present, buffer amplifiers V1 $k$ , V2 $k$  form an autocorrelation unit AKE. The latter may, for example, also include the remainder of the delay lines LZ1, LZ2, the electrical power divider LTE and the amplifier V. An autocorrelation unit AKE1 can be monolithically
- 30 integrated in a space-saving manner on a semiconductor chip; e.g., in SiGe, GaAs or InP.



In practice, the taps give rise to losses on the delay lines LZ1, LZ2. However, since the input signals of all the EXOR gates traverse, in total, the same number of taps, i.e. upon addition of the traversed taps on line LZ1 and the traversed taps on LZ2, and, given a suitable design, also traverse line portions that are of the same length, in total, the product of the attenuation factors which these input signals experience is constant. This is true even in the absence of buffer amplifiers V1k, V2k. This advantageously has the result that the output signals of the different EXOR gates EXj correspond, with at least approximately the same proportionality factor, proportionally to the value of the autocorrelation function which corresponds to the respective delay.

In the exemplary embodiment of Figure 1, the signal delays between the outputs of the electrical power divider LTE and the taps A11 and A21 respectively, shall be identical. In this way, the value AKF1 of the autocorrelation function of the baseband signal BB for delay zero is produced at the output of the low-pass filter LP1. Between adjacent tap points A1k and A1(k+1) ( $k = 1 \dots n-1$ ) the signal delays shall be identical and have the value DT1. Between respectively adjacent tap points A2(k+1) and A2k ( $k = 1 \dots n-1$ ), the signal delays shall be identical and have the value DT2. Since the delay lines LZ1, LZ2 are traversed in opposite directions in the region of the EXOR gates, the value AKF2, AKF3, ... AKFn of the autocorrelation function of the baseband signal BB for delays DT, 2\*DT, ..., (n-1)\*DT, where  $DT = DT1 + DT2$ , is respectively produced at the outputs of the remaining low-pass filters LP2 ... LPn. In order to minimize the chip area, it is advantageous to choose  $DT1 = DT2$ . It is furthermore favorable to choose DT to be equal to or shorter than a symbol duration T of the baseband signal BB. In the case of the binary signals usually used, a symbol duration T is equal to a bit duration. Since the autocorrelation function of a real signal has even symmetry, it is possible to dispense with the measurement of the values of the autocorrelation function with opposite delays. The maximum delay (n-1)\*DT should, if possible, be at least equal to the sum of a differential group delay, caused by PMD, of the optical transmission link and the differential group delay generated by the PMD compensator PMDC.

The outputs of the low-pass filters  $LB_j$  are fed to a regulator  $R$ . An autocorrelation function  $AKF$  sampled by values  $AKF_1 \dots AKF_n$  is thus present here. If PMD is present and is not equalized, the value  $AKF_1$  is often smaller than the maximum possible value and the values  $AKF_2 \dots AKF_n$  differ from zero even when they correspond to delays  $DT \dots (n-1)*DT$  greater than a symbol duration  $T$  of the baseband signal. Such a poor autocorrelation function  $AKFBAD$  is shown by Figure 2. Only half of the autocorrelation function is shown since, after all, the autocorrelation function is symmetrical, so that measurement of the other half is unnecessary.

The regulator  $R$  adjusts the control signals  $SPMDC$  of the PMD compensator  $PMDC$  in such a way that the autocorrelation function is at least approximately equal to the autocorrelation function of the undistorted baseband signal. In the case of NRZ signals, this is a triangular pulse centered about delay zero, which pulse reaches the value zero for a delay of one bit duration  $T$  and remains there for longer delays. Such a good autocorrelation function  $AKFGOOD$  is also shown by Figure 2. In this case, the value  $AKF_1$  is maximal and the values  $AKF_2 \dots AKF_n$  are at least approximately equal to zero when the delays  $DT \dots (n-1)*DT$  are at least as long as a symbol duration  $T$  of the baseband signal. This applies to the values  $2*DT \dots (n-1)*DT$  in Figure 2. PMD is ideally equalized in this case. An ideally equalized optical signal therefore appears at the optical output OUT.

The optical power divider  $LT$  can also be omitted, so that the PMD compensator  $PMDC$  is directly connected to the photodiode  $PD$  on the output side. In this case, the electrical power divider  $LTE$ , as shown in Figure 1, should have a further electrical output  $LTEOR$ . An electrical data regenerator (often called 3R regenerator)  $REG$  is connected to the electrical output  $LTEOR$ . A regenerated data signal which at least approximately has no bit errors through PMD is available at the output  $OD$  of the regenerator.

Figure 3 shows a further exemplary embodiment of the device for PMD detection. Only the autocorrelation unit  $AKE$  of Figure 1 and a power divider  $LTE$  are shown here. In Figure 3, the signal flow directions of the delay lines  $LZ_1, LZ_2$

along the EXOR gates are not opposite, as in Figure 1, but rather unidirectional. This can be seen also from the opposite positioning of the terminating resistor R2 and the opposite orientation of the buffer amplifiers V2j. As in Figure 1, buffer amplifiers are not absolutely necessary, or may be provided, e.g., only at some points.

In Figure 3, time delay DT1 shall be defined in the same way as in Figure 1. Between respectively adjacent tap points A2k and A2(k+1) ( $k = 1 \dots n-1$ ) of Figure 3, the signal delays shall be identical and have the value DT3. The delay differences between the inputs of successive correlators are therefore 0, DT, 2\*DT ... (n-1)\*DT where DT in this case has the value  $DT = DT1 - DT3$ . In order to obtain different DT1, DT3, detour lines  $U_m$  ( $m = 2 \dots n$ ) are provided.

Instead of tapped delay lines LZ1, LZ2, it is also possible to use a number of delay lines LZ1j, LZ2j ( $j = 1 \dots n$ ) of different lengths. To that end, the power divider LTE must have a corresponding number of outputs. A suitable exemplary embodiment where  $n=4$  is sketched in Figure 4. The delay lines LZ1j, LZ2j end at those points A1j, A2j which are connected to the EXOR gate inputs and were the tap points in Figures 1 and 2. The delay differences between the point pairs (A11, A21), (A12, A22), (A13, A23), (A14, A24) are 0, DT, 2\*DT and 3\*DT, respectively, where  $DT = DT1 + DT2$ .

Figure 5 illustrates part of an exemplary embodiment with only one delay line LZ1. The points A1j, which are connected to one EXOR gate input in each case, are strung along the delay line LZ1. The points A2j, which are connected to the other EXOR gate input in each case, all coincide and are identical to the point A11. Delay differences 0, DT, 2\*DT ... (n-1)\*DT between the EXOR gate inputs are obtained in this way.

In order to achieve an optimally low bit error rate, it is expedient for a measure of this bit error rate to be made available to the regulator R. This is possible in a simple manner if an electrical regenerator REG is provided. It may, therefore, be expedient to provide a regenerator REG even in cases where power divider LT and optical output OUT of the equalized optical signal are present. Figure 6 illustrates the regenerator REG. Clock recovery is generally necessary but

is not illustrated here for reasons of clarity. The regenerated data signal DS appears at the output OD, which is also the output of a D flip-flop DFF, to which the baseband signal BB is fed on the input side. The baseband signal is likewise fed to a second decision circuit (D flip-flop) DFF2. In this exemplary embodiment, the threshold of the decision circuit can be adjusted via a setting device EG to such an extent that the decision circuit already yields a data auxiliary signal DH affected by errors when the first decision circuit DFF still outputs an essentially error-free data signal DS. The output signals are compared with one another in an EXCLUSIVE-OR gate EXOR, and the error signal FS thus obtained is likewise fed to the regulator R for controlling the PMD compensator PMDC. A measure of how good the signal quality is with regard to a bit error rate that can be achieved is continuously developed by shifting the threshold of the second decision circuit via a setting device EG, which is controlled by the regulator R via a control signal ST2. The lower the error rate of the data auxiliary signal when the threshold is shifted from the optimum, the better the signal quality. Roughly, a maximum value of the autocorrelation function AKF1 for delay zero and zero values of the autocorrelation function for delays which are longer than a symbol duration T will also produce a minimum bit error rate. By contrast, a more accurate assessment which leads to a lower bit error rate of the decision circuit DFF is produced when the error signal FS is used. Since deviations of the data auxiliary signal DH from the data signal DS occur stochastically, however, a relatively long measurement or averaging time of the error signal FS is necessary in order to obtain a particularly good signal/noise ratio and, hence, optimal compensation. The additional information obtained with the aid of the second decision circuit is used to adaptively modify the regulating algorithm of the regulator R, which performs the setting of the PMD compensator PMDC with the aid of autocorrelation function measured values AKF1, AKF2, ... AKFn. By way of example, a slightly negative value AKF3 might be more favorable than the value zero. This adaptive form of operation appears to be particularly favorable for making manufacturing tolerances, temperature fluctuations, occurrence of nonlinear effects, etc., tolerable. The major advantage of these embodiments is that, through the measured values of the autocorrelation

function, rapid PMD compensation is already possible and sufficient time is available for the fine setting and the setting of the transfer function of the filter.

However, it is also possible to use only an error signal FS, particularly in cases where fast setting of the PMD compensator PMDC is not important. In this  
5 case, electrical power divider LTE and autocorrelation unit AKE and low-pass filters LPj may be omitted.

Although the present invention has been described with reference to specific  
embodiments, those of skill in the art will recognize that changes may be made  
thereto without departing from the spirit and scope of the invention as set forth in  
10 the hereafter appended claims.

# ABSTRACT OF THE DISCLOSURE

Device for detecting polarization mode dispersion of an optical data signal, which has at least one EXOR gate together with an averaging device for measuring at least one value of the autocorrelation function of a baseband signal distorted by polarization mode dispersion.

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**In the claims:**

On page 12, cancel line 1, and substitute the following left-hand justified heading therefor:

5 CLAIMS

Please cancel claims 1-13, without prejudice, and substitute the following claims therefor:

14. A device for detecting polarization mode dispersion of an optical data signal by evaluating an electrical baseband signal, comprising:
- 10 at least one multiplier which calculates a value of an autocorrelation function of the baseband signal by multiplication of a value of the baseband signal by a delayable value of the baseband signal; and
- an averaging device for averaging the calculated value of the autocorrelation function.
- 15
15. A device for detecting polarization mode dispersion of an optical data signal as claimed in Claim 14, further comprising:
- a delay line with taps, wherein taps with different delays are respectively connected to inputs of the at least one multiplier.
- 20
16. A device for detecting polarization mode dispersion of an optical data signal as claimed in Claim 15, wherein two delay lines are provided through which, in a region in which the two delay lines exhibit a mutual assignment via the inputs of the at least one multiplier, the baseband signal runs in opposite directions
- 25 such that the delays occurring between adjacent multipliers are added to form a delay difference between the adjacent multipliers.
17. A device for detecting polarization mode dispersion of an optical data signal as claimed in Claim 15, wherein two delay lines are provided which, in
- 30 a region in which the two delay lines exhibit an assignment via the inputs of the at least one multiplier, are traversed in a same direction such that the delays occurring

between adjacent multipliers are subtracted from one another to form a delay difference between the adjacent multipliers.

18. A device for detecting polarization mode dispersion of an optical  
5 data signal as claimed in Claim 14, further comprising:

a plurality of delay lines of different lengths to whose ends inputs of multipliers are connected.

19. A device for detecting polarization mode dispersion of an optical  
10 data signal as claimed in Claim 15, further comprising:

a detour line provided in one of the delay lines.

20. A device for detecting polarization mode dispersion of an optical  
data signal as claimed in Claim 15, further comprising:

15 a buffer amplifier in one of the delay lines.

21. A device for detecting polarization mode dispersion of an optical  
data signal as claimed in Claim 15, wherein delays that occur are equidistant with a  
constant delay difference.

22. A device for detecting polarization mode dispersion of an optical  
20 data signal as claimed in Claim 15, wherein a delay difference is at least  
approximately equal to a symbol duration of the baseband signal.

23. A device for detecting polarization mode dispersion of an optical  
25 data signal as claimed in Claim 14, further comprising:  
a regulator for controlling a PMD compensator.

24. A device for detecting polarization mode dispersion of an optical  
30 data signal as claimed in Claim 23, wherein the regulator at least approximately  
maximizes a non-delayed value of the autocorrelation function and adjusts values



of the autocorrelation function that are delayed by at least one symbol duration at least approximately to the value zero.

25. A device for detecting polarization mode dispersion of an optical  
5 data signal as claimed in Claim 14, further comprising:

a measuring arrangement for measuring a bit error rate in the event of one of  
an intentionally impaired reception signal and a changed threshold value of a  
second decision stage, an error signal of the measuring arrangement controlling a  
PMD compensator via a regulator.

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26. A device for detecting polarization mode dispersion of an optical  
data signal as claimed in Claim 25, wherein the regulator is used additionally for  
adaptively setting the values of the autocorrelation function that are sought.

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27. A device for detecting polarization mode dispersion of an optical  
data signal as claimed in Claim 14, wherein the multiplier is an EXOR gate.

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28. A device for detecting polarization mode dispersion of an optical  
data signal as claimed in Claim 14, where the multiplier is a Gilbert multiplier.

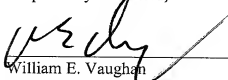
## REMARKS

The present amendment makes editorial changes and corrects typographical errors in the specification, which includes the Abstract, in order to conform the specification to the requirements of United States Patent Practice. No new matter is added thereby. Attached hereto is a marked-up version of the changes made to the specification by the present amendment. The attached page is captioned "Version With Markings To Show Changes Made".

In addition, the present amendment cancels original claims 1-13 in favor of new claims 14-28. Claims 14-28 have been presented solely because the revisions by red-lining and underlining which would have been necessary in claims 1-13 in order to present those claims in accordance with preferred United States Patent Practice would have been too extensive, and thus would have been too burdensome. The present amendment is intended for clarification purposes only and not for substantial reasons related to patentability pursuant to 35 USC §§101, 102, 103 or 112. Indeed, the cancellation of claims 1-13 does not constitute an intent on the part of the Applicants to surrender any of the subject matter of claims 1-13.

Early consideration on the merits is respectfully requested.

Respectfully submitted,



(Reg. No. 39,056)

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## VERSIONS WITH MARKINGS TO SHOW CHANGES MADE

Description

### SPECIFICATION

~~Device for detecting polarization mode dispersion~~

5

### TITLE OF THE INVENTION

### DEVICE FOR DETECTING POLARIZATION MODE DISPERSION

~~The invention relates to a device for detecting polarization mode dispersion of an optical data signal in accordance with the preamble of patent claim 1.~~

### BACKGROUND OF THE INVENTION

- 10 Long optical waveguide transmission links are used in optical transmission technology. Production dictates that the optical waveguides are not completely isotropic, but rather weakly birefringent. The long transmission link results in frequency-dependent polarization transformation<sub>1</sub>, called polarization mode dispersion or polarization dispersion, abbreviated to PMD. Through the change in
- 15 the polarization of the optical signal as a function of the optical frequency and<sub>1</sub>, associated therewith<sub>2</sub>, different frequency-dependent delays, this PMD leads to the widening of transmitted pulses, ~~which means that~~. As such, at the receiving end, the identifiability of said the pulses is reduced and, as a result, the transmitted data rate is limited. The term "principal states of polarization", referred to as PSP
- 20 below, designates those two states of polarization which are orthogonal to one another and to a first approximation do not change when the optical frequency changes. In polarization-maintaining optical waveguides, the principal states of polarization coincide with the principal axes<sub>3</sub>; in other words<sub>4</sub>, are horizontal and vertical. In general, however, the principal states of polarization are arbitrary
- 25 orthogonal pairs of elliptic states of polarization. The principal states of polarization have different group delays, whose difference is referred to as "differential group delay", DGD below. If an optical signal is transmitted with one principal state of polarization, then, to a first-order approximation, no pulse widening takes place. If it is transmitted with a polarization which, in the case of
- 30 splitting according to the two principal states of polarization, corresponds to power components that are identical there, maximum pulse widening occurs because two

pulses of identical strength, with delay differences equal to DGD, are superposed. If the principal states of polarization change as a function of the optical frequency, then it is the case, however, that, when a principal state of polarization which corresponds to a specific frequency is used on the input side, the output state of polarization will nevertheless change as a function of the frequency, but actually only in a higher order than the first order. This is referred to as higher-order PMD. Higher-order PMD generally occurs, although first-order PMD is predominant due to its effects and ~~must~~, therefore, must be compensated preferentially. This is aggravated by the fact that the transmission response of the link, and hence the PMD too, changes as a result of temperature change or mechanical stress. Therefore, use is made of adaptive PMD compensators which are inserted in the transmission path. To drive these compensators, PMD distortions must be detected in the optical receiver. The compensator can then be set optimally using a gradient algorithm, for example.

15 In Electronic Letters, February 17, 1994, Volume 30, no. 4, pages 348 to 349, use is made of a bandpass filter for filtering a data signal whose PMD is to be detected. A power detector at the filter output supplies a signal which is higher, the smaller the PMD distortions are. In Electron. Lett. 34(1998) 23, pages 2258 to 2259, use is made of a combination of a ~~plurality~~ number of bandpass filters with downstream power detectors, in which case, instead of individual signals, it is also possible to use a linear combination of the signals. By using bandpass filters having different center frequencies, it becomes possible, at the same time, to detect even relatively large PMD distortions which exceed, e.g., a bit duration of the signal. However, bandpass filters are poorly suited to monolithic integration; for example, in Si or SiGe. Moreover, unavoidable group delay distortions in the bandpass filters have the result that optimal PMD detection and hence equalization is not possible.

25 In Proceedings OEC 94, 14e-12, pages 258 to 259, Makuhari Trade Fair, Japan 1994, a different method is used, in which the power of the differential signal between decision-circuit output and decision-circuit input is evaluated. Incorrect decisions may occur, however, particularly in the event of severe PMD distortions

in which the DGD exceeds the bit duration, so that the signal obtained in such cases is an unsuitable criterion for the presence of PMD distortions.

The An object of the present invention, therefore, is to specify a reliable detector even for relatively large values of the differential group delay which can be integrated in a simple manner and, unlike bandpass filters, is not subject to intrinsic distortions through group delay distortions.

The object is achieved by means of a device for detecting polarization mode dispersion in accordance with claim 1.

### SUMMARY OF THE INVENTION

Advantageous developments of the invention are specified in the subclaims.

According to the According to the present invention, use is made of EXCLUSIVE-OR gates (EXOR) or multipliers, which are used to determine essential parts of the autocorrelation function of the baseband signal present in the electrical part of an optical receiver. The A particular advantage of the present invention is that EXOR gates can be monolithically integrated in a simple manner.

With EXOR gates which are separated by delay lines, the autocorrelation function values are produced for different time delays.

In an advantageous exemplary embodiment, two delay lines that are to be traversed in opposite directions are used, which can be implemented in a particularly space-saving manner and, moreover, at least approximately compensate the line losses.

Exemplary embodiments of the invention will be described with reference to figures. Additional features and advantages of the present invention are described in, and will be apparent from, the following Detailed Description of the Invention and the Figures.

### In the figures: BRIEF DESCRIPTION OF THE FIGURES

Figure 1 shows a device according to the present invention for PMD detection, supplemented by PMD compensator and further assemblies.

Figure 2 shows a poor and a good sampled autocorrelation function.

Figure 3 shows a further exemplary embodiment of a device for PMD detection.

Figure 4 shows a variant of delay lines<sub>2</sub>.

Figure 5 shows a further variant of a delay line<sub>2</sub> and.

Figure 6 shows a regenerator connected to a regulator.

#### DETAILED DESCRIPTION OF THE FIGURES

5        Figure 1 shows a system for optical PMD compensation. It has having an optical input IN and an optical output OUT. An optical wave OS, coming from the input IN, traverses firstly an adjustable optical PMD compensator PMDC and then a power divider LT. One output of the power divider forms the optical output OUT of the system and the other drives a photodiode PD. After electrical amplification  
10    in amplifier V, the baseband signal BB is fed to an electrical power divider LTE.

      The outputs of the electrical power divider are fed to two tapped delay lines LZ1, LZ2. The ends of the delay lines are provided with terminating resistors R1, R2 in accordance with the characteristic impedance. A tap A1j ( $j = 1 \dots n$ ) of the line LZ1 is respectively fed to one input and a tap A2j ( $j = 1 \dots n$ ) of the line LZ2 is respectively fed  
15    to the other input of an EXOR gate EXj ( $j = 1 \dots n$ ).

      Instead of EXOR gates, any other multiplier circuits are also suitable. Gilbert multipliers are particularly suitable as EXOR gates/multipliers. A suitable circuit, in this case with field-effect transistors, is presented, for example, in Electronics Letters, August 15, 1991, Volume 27, no. 17, pages 1529 to 1532, to be  
20    precise in Fig. 3 therein.

      The taps are arranged according to a rising index  $j$  on one of the lines (LZ1) and according to a falling index  $j$  on the other line (LZ2). The result of this is that the delay difference between the signals at the inputs of an EXOR gate EXj changes monotonically with rising index  $j$ . If the line lengths between all the adjacent taps  
25    of a respective line are equal, then equidistant delay differences which change monotonically in accordance with index  $j$  are produced. Low-pass filters LPj ( $j = 1 \dots n$ ) are respectively connected to the outputs of the EXOR gates EXj. Instead of low-pass filters, other circuits which can be used for averaging, such as integrators, for example, which integrate over a defined time duration, are also  
30    suitable. These are also referred to as "Integrate-and-Dump" circuits. The output

signals of the low-pass filters specify the values of the autocorrelation function of the electrical signal BB which are measured for different delay differences.

In order to compensate the losses at the taps A1j, A2j, to suppress multiple reflections on the delay lines LZ1, LZ2 and to obtain a longer signal delay for given dimensions, buffer amplifiers V1j, V2j ( $j = 1 \dots n$ ) may be inserted into the delay lines LZ1, LZ2. However, they are not absolutely necessary.

Since balanced circuitry with differential inputs and push-pull outputs affords numerous advantages, it is favorable to use it here, too. By way of example, amplifier V, power divider LTE, delay lines LZ1, LZ2, buffer amplifiers V1k, V2k, taps A1j, A2j, terminating resistors R1, R2, EXOR gates EXj and low-pass filters LPj may be of balanced design. The last-mentioned literature reference describes how this is done ~~for~~, e.g., for an EXOR gate.

EXOR gates EXj and at least parts of the delay lines LZ1, LZ2 including taps A1j, A2j and terminating resistors R1, R2 and, if present, buffer amplifiers V1k, V2k form an autocorrelation unit AKE. The latter may, for example, also ~~comprise~~ include the remainder of the delay lines LZ1, LZ2, the electrical power divider LTE and the amplifier V. An autocorrelation unit AKE1 can be monolithically integrated in a space-saving manner on a semiconductor chip; e.g., in SiGe, GaAs or InP.

In practice, the taps give rise to losses on the delay lines LZ1, LZ2. However, since the input signals of all the EXOR gates traverse, in total, the same number of taps, i.e. upon addition of the traversed taps on line LZ1 and the traversed taps on LZ2, and, given a suitable design, also traverse line portions that are of the same length, in total, the product of the attenuation factors which these input signals experience is constant. This is true even in the absence of buffer amplifiers V1k, V2k. This advantageously has the result that the output signals of the different EXOR gates EXj correspond, with at least approximately the same proportionality factor, proportionally to the value of the autocorrelation function which corresponds to the respective delay.

In the exemplary embodiment of Figure 1, the signal delays between the outputs of the electrical power divider LTE and the taps A11 and A21 respectively,

- shall be identical. In this way, the value AKF1 of the autocorrelation function of the baseband signal BB for delay zero is produced at the output of the low-pass filter LP1. Between adjacent tap points A1k and A1(k+1) ( $k = 1 \dots n-1$ ) the signal delays shall be identical and have the value DT1. Between respectively adjacent
- 5 tap points A2(k+1) and A2k ( $k = 1 \dots n-1$ ), the signal delays shall be identical and have the value DT2. Since the delay lines LZ1, LZ2 are traversed in opposite directions in the region of the EXOR gates, the value AKF2, AKF3, ... AKFn of the autocorrelation function of the baseband signal BB for delays DT, 2\*DT, ..., (n-1)\*DT, where  $DT = DT1 + DT2$ , is respectively produced at the outputs of the
- 10 remaining low-pass filters LP2 ... LPn. In order to minimize the chip area, it is advantageous to choose  $DT1 = DT2$ . It is furthermore favorable to choose DT to be equal to or shorter than a symbol duration T of the baseband signal BB. In the case of the binary signals usually used, a symbol duration T is equal to a bit duration. Since the autocorrelation function of a real signal has even symmetry, it
- 15 is possible to dispense with the measurement of the values of the autocorrelation function with opposite delays. The maximum delay (n-1)\*DT should, if possible, be at least equal to the sum of a differential group delay<sub>1</sub> caused by PMD<sub>1</sub> of the optical transmission link and the differential group delay generated by the PMD compensator PMDC.
- 20 The outputs of the low-pass filters LBj are fed to a regulator R. An autocorrelation function AKF sampled by values AKF1 ... AKFn is thus present here. If PMD is present and is not equalized, the value AKF1 is often smaller than the maximum possible value and the values AKF2 ... AKFn differ from zero even when they correspond to delays DT ... (n-1)\*DT greater than a symbol duration T
- 25 of the baseband signal. Such a poor autocorrelation function AKFBAD is shown by Figure 2. Only half of the autocorrelation function is shown since, after all, said the autocorrelation function is symmetrical, so that measurement of the other half is unnecessary.
- 30 The regulator R adjusts the control signals SPMDC of the PMD compensator PMDC in such a way that the autocorrelation function is at least approximately equal to the autocorrelation function of the undistorted baseband



signal. In the case of NRZ signals, this is a triangular pulse centered about delay zero, which pulse reaches the value zero for a delay of one bit duration  $T$  and remains there for longer delays. Such a good autocorrelation function AKFGOOD is also shown by Figure 2. In this case, the value AKF1 is maximal and the values

5 AKF2 ... AKFn are at least approximately equal to zero when the delays  $DT \dots (n-1)*DT$  are at least as long as a symbol duration  $T$  of the baseband signal. This applies to the values  $2*DT \dots (n-1)*DT$  in Figure 2. PMD is ideally equalized in this case. An ideally equalized optical signal therefore appears at the optical output OUT.

10 The optical power divider LT can also be omitted, so that the PMD compensator PMDC is directly connected to the photodiode PD on the output side. In this case, the electrical power divider LTE, as shown in Figure 1, should have a further electrical output LTEOR. An electrical data regenerator (often called 3R regenerator) REG is connected to said the electrical output LTEOR. A regenerated

15 data signal which at least approximately has no bit errors through PMD is available at the output OD of said the regenerator.

Figure 3 shows a further exemplary embodiment of the device for PMD detection. Only the autocorrelation unit AKE of Figure 1 and a power divider LTE are shown here. In Figure 3, the signal flow directions of the delay lines LZ1, LZ2

20 along the EXOR gates are not opposite, as in Figure 1, but rather unidirectional. This can also be seen also from the opposite positioning of the terminating resistor R2 and the opposite orientation of the buffer amplifiers V2j. As in Figure 1, buffer amplifiers are not absolutely necessary, or may be provided, e.g., only at some points.

25 In Figure 3, time delay  $DT1$  shall be defined in the same way as in Figure 1. Between respectively adjacent tap points  $A2k$  and  $A2(k+1)$  ( $k = 1 \dots n-1$ ) of Figure 3, the signal delays shall be identical and have the value  $DT3$ . The delay differences between the inputs of successive correlators are therefore  $0, DT, 2*DT \dots (n-1)*DT$  where  $DT$  in this case has the value  $DT = DT1 - DT3$ . In order to

30 obtain different  $DT1$ ,  $DT3$ , detour lines  $Um$  ( $m = 2 \dots n$ ) are provided.

Instead of tapped delay lines LZ1, LZ2, it is also possible to use a plurality of delay lines LZ1j, LZ2j ( $j = 1 \dots n$ ) of different lengths. To that end, the power divider LTE must have a corresponding number of outputs. A suitable exemplary embodiment where  $n=4$  is sketched in Figure 4. The delay lines LZ1j, LZ2j end at those points A1j, A2j which are connected to the EXOR gate inputs and were the tap points in Figures 1 and 2. The delay differences between the point pairs (A11, A21), (A12, A22), (A13, A23), (A14, A24) are 0, DT, 2\*DT and 3\*DT, respectively, where  $DT = DT1 + DT2$ .

Figure 5 illustrates part of an exemplary embodiment with only one delay line LZ1. The points A1j, which are connected to one EXOR gate input in each case, are strung along the delay line LZ1. The points A2j, which are connected to the other EXOR gate input in each case, all coincide and are identical to the point A11. Delay differences 0, DT, 2\*DT ... (n-1)\*DT between the EXOR gate inputs are obtained in this way.

In order to achieve an optimally low bit error rate, it is expedient for a measure of this bit error rate to be made available to the regulator R. This is possible in a simple manner if an electrical regenerator REG is provided. It may, therefore, be expedient to provide a regenerator REG even in cases where power divider LT and optical output OUT of the equalized optical signal are present.

Figure 6 illustrates the regenerator REG. Clock recovery is generally necessary but is not illustrated here for reasons of clarity. The regenerated data signal DS appears at the output OD, which is also the output of a D flip-flop DFF, to which the baseband signal BB is fed on the input side. The baseband signal is likewise fed to a second decision circuit (D flip-flop) DFF2.

In this exemplary embodiment, the threshold of the decision circuit can be adjusted via a setting device EG to such an extent that said the decision circuit already yields a data auxiliary signal DH affected by errors when the first decision circuit DFF still outputs an essentially error-free data signal DS. The output signals are compared with one another in an EXCLUSIVE-OR gate EXOR, and the error signal FS thus obtained is likewise fed to the regulator R for controlling the PMD compensator PMDC. A measure of how good the signal quality is with regard to a

bit error rate that can be achieved is continuously developed by shifting the threshold of the second decision circuit ~~by means of~~ via a setting device EG, which is controlled by the regulator R via a control signal ST2. The lower the error rate of the data auxiliary signal when the threshold is shifted from the optimum, the better the signal quality. Roughly, a maximum value of the autocorrelation function AKF1 for delay zero and zero values of the autocorrelation function for delays which are longer than a symbol duration T will also produce a minimum bit error rate. By contrast, a more accurate assessment which leads to a lower bit error rate of the decision circuit DFF is produced when the error signal FS is used. Since deviations of the data auxiliary signal DH from the data signal DS occur stochastically, however, a relatively long measurement or averaging time of the error signal FS is necessary in order to obtain a particularly good signal/noise ratio and, hence, optimal compensation. The additional information obtained with the aid of the second decision circuit is used to adaptively modify the regulating algorithm of the regulator R, which performs the setting of the PMD compensator PMDC with the aid of autocorrelation function measured values AKF1, AKF2, ... AKFn. By way of example, a slightly negative value AKF3 might be more favorable than the value zero. This adaptive form of operation appears to be particularly favorable for making manufacturing tolerances, temperature fluctuations, occurrence of nonlinear effects, etc., tolerable. The major advantage of these embodiments is that, through the measured values of the autocorrelation function, rapid PMD compensation is already possible and sufficient time is available for the fine setting and the setting of the transfer function of the filter.

However, it is also possible to use only an error signal FS, particularly in cases where fast setting of the PMD compensator PMDC is not important. In this case, electrical power divider LTE and autocorrelation unit AKE and low-pass filters LPj may be omitted.

Although the present invention has been described with reference to specific embodiments, those of skill in the art will recognize that changes may be made thereto without departing from the spirit and scope of the invention as set forth in the hereafter appended claims.

# ABSTRACT OF THE DISCLOSURE Abstract

## Device for detecting polarization mode dispersion

Device for detecting polarization mode dispersion of an optical data  
signal(OS), which has at least one EXOR gate ( $EX_j; j=1 \dots n$ ) together with an  
5 averaging device ( $LP_j; j=1 \dots n$ ) for measuring at least one value ( $AKF_j; j=1 \dots n$ )  
of the autocorrelation function of a baseband signal ( $BB$ ) distorted by polarization  
mode dispersion.

Figure 1

GR 99 P 8082

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## Description

Device for detecting polarization mode dispersion

- 5 The invention relates to a device for detecting polarization mode dispersion of an optical data signal in accordance with the preamble of patent claim 1.

10 Long optical waveguide transmission links are used in optical transmission technology. Production dictates that the optical waveguides are not completely isotropic, but rather weakly birefringent. The long transmission link results in frequency-dependent polarization transformation - called polarization mode

15 dispersion or polarization dispersion, abbreviated to PMD. Through the change in the polarization of the optical signal as a function of the optical frequency and - associated therewith - different frequency-dependent delays, this PMD leads to the widening of

20 transmitted pulses, which means that, at the receiving end, the identifiability of said pulses is reduced and, as a result, the transmitted data rate is limited. The term "principal states of polarization", referred to as PSP below, designates those two states of polarization

25 which are orthogonal to one another and to a first approximation do not change when the optical frequency changes. In polarization-maintaining optical waveguides, the principal states of polarization coincide with the principal axes, in other words are

30 horizontal and vertical. In general, however, the principal states of polarization are arbitrary orthogonal pairs of elliptic states of polarization. The principal states of polarization have different group delays, whose difference is referred to as

35 "differential group delay", DGD below. If an optical signal is transmitted with one principal state of polarization, then, to a first-order approximation, no pulse widening takes place. If it is transmitted with a

polarization which, in the case of splitting according to the two principal states of polarization, corresponds to power components that are identical there, maximum

pulse widening occurs because two pulses of identical strength, with delay differences equal to DGD, are superposed. If the principal states of polarization change as a function of the optical frequency, then it is the case, however, that, when a principal state of polarization which corresponds to a specific frequency is used on the input side, the output state of polarization will nevertheless change as a function of the frequency, but actually only in a higher order than the first order. This is referred to as higher-order PMD. Higher-order PMD generally occurs, although first-order PMD is predominant due to its effects and must therefore be compensated preferentially. This is aggravated by the fact that the transmission response of the link, and hence the PMD too, changes as a result of temperature change or mechanical stress. Therefore, use is made of adaptive PMD compensators which are inserted in the transmission path. To drive these compensators, PMD distortions must be detected in the optical receiver. The compensator can then be set optimally using a gradient algorithm, for example.

In Electronic Letters, February 17, 1994, Volume 30, no. 4, pages 348 to 349, use is made of a bandpass filter for filtering a data signal whose PMD is to be detected. A power detector at the filter output supplies a signal which is higher, the smaller the PMD distortions are. In Electron. Lett. 34(1998) 23, pages 2258 to 2259, use is made of a combination of a plurality of bandpass filters with downstream power detectors, in which case, instead of individual signals, it is also possible to use a linear combination of the signals. By using bandpass filters having different center frequencies, it becomes possible, at the same time, to detect even relatively large PMD distortions which exceed e.g. a bit duration of the signal. However, bandpass filters are poorly suited to monolithic integration, for example

in Si or SiGe. Moreover, unavoidable group delay distortions in the bandpass filters have the result that optimal PMD detection and hence equalization is not possible.

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In Proceedings OEC 94, 14e-12, pages 258 to 259, Makuhari Trade Fair, Japan 1994, a different method is used, in which the power of the differential signal between decision-circuit output and decision-circuit input is evaluated. Incorrect decisions may occur, however, particularly in the event of severe PMD distortions in which the DGD exceeds the bit duration, so that the signal obtained in such cases is an unsuitable criterion for the presence of PMD distortions.

The object of the invention is to specify a reliable detector even for relatively large values of the differential group delay which can be integrated in a simple manner and, unlike bandpass filters, is not subject to intrinsic distortions through group delay distortions.

The object is achieved by means of a device for detecting polarization mode dispersion in accordance with claim 1.

Advantageous developments of the invention are specified in the subclaims.

According to the invention, use is made of EXCLUSIVE-OR gates (EXOR) or multipliers, which are used to determine essential parts of the autocorrelation function of the baseband signal present in the electrical part of an optical receiver. The particular advantage of the invention is that EXOR gates can be monolithically integrated in a simple manner.

With EXOR gates which are separated by delay lines, the autocorrelation function values are produced for different time delays.

In an advantageous exemplary embodiment, two delay lines that are to be traversed in opposite directions are

used, which can be implemented in a particularly space-saving manner and, moreover, at least approximately compensate the line losses.

- 5 Exemplary embodiments of the invention will be described with reference to figures.

In the figures:

- 10 Figure 1 shows a device according to the invention for PMD detection, supplemented by PMD compensator and further assemblies,  
Figure 2 shows a poor and a good sampled autocorrelation function,  
15 Figure 3 shows a further exemplary embodiment of a device for PMD detection,  
Figure 4 shows a variant of delay lines,  
Figure 5 shows a further variant of a delay line, and  
Figure 6 shows a regenerator connected to a regulator.

- 20 **Figure 1** shows a system for optical PMD compensation. It has an optical input IN and an optical output OUT. An optical wave OS, coming from the input IN, traverses firstly an adjustable optical PMD compensator PMDC and  
25 then a power divider LT. One output of the power divider forms the optical output OUT of the system and the other drives a photodiode PD. After electrical amplification in amplifier V, the baseband signal BB is fed to an electrical power divider LTE.

- 30 The outputs of the electrical power divider are fed to two tapped delay lines LZ1, LZ2. The ends of the delay lines are provided with terminating resistors R1, R2 in accordance with the characteristic impedance. A tap A1j  
35 (j = 1 ... n) of the line LZ1 is respectively fed to one input and a tap A2j (j = 1 ... n) of the line LZ2 is respectively fed to the other input of an EXOR gate EXj (j = 1 ... n).

Instead of EXOR gates, any other multiplier circuits are also suitable. Gilbert multipliers are particularly suitable as EXOR gates/multipliers. A suitable circuit, in this case with field-effect transistors, is presented for example in Electronics Letters, August 15, 1991, Volume 27, no. 17, pages 1529 to 1532, to be precise in Fig. 3 therein.

The taps are arranged according to a rising index  $j$  on one of the lines (LZ1) and according to a falling index  $j$  on the other line (LZ2). The result of this is that the delay difference between the signals at the inputs of an EXOR gate  $EX_j$  changes monotonically with rising index  $j$ . If the line lengths between all the adjacent taps of a respective line are equal, then equidistant delay differences which change monotonically in accordance with index  $j$  are produced. Low-pass filters  $LP_j$  ( $j = 1 \dots n$ ) are respectively connected to the outputs of the EXOR gates  $EX_j$ . Instead of low-pass filters, other circuits which can be used for averaging, such as integrators, for example, which integrate over a defined time duration, are also suitable. These are also referred to as "Integrate-and-Dump" circuits. The output signals of the low-pass filters specify the values of the autocorrelation function of the electrical signal BB which are measured for different delay differences.

In order to compensate the losses at the taps  $A1_j$ ,  $A2_j$ , to suppress multiple reflections on the delay lines LZ1, LZ2 and to obtain a longer signal delay for given dimensions, buffer amplifiers  $V1_j$ ,  $V2_j$  ( $j = 1 \dots n$ ) may be inserted into the delay lines LZ1, LZ2. However, they are not absolutely necessary.

Since balanced circuitry with differential inputs and push-pull outputs affords numerous advantages, it is favorable to use it here, too. By way of example,

amplifier V, power divider LTE, delay lines LZ1, LZ2,  
buffer amplifiers V1k, V2k, taps A1j, A2j,

terminating resistors R1, R2, EXOR gates EXj and low-pass filters LPj may be of balanced design. The last-mentioned literature reference describes how this is done for e.g. an EXOR gate.

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EXOR gates EXj and at least parts of the delay lines LZ1, LZ2 including taps A1j, A2j and terminating resistors R1, R2 and, if present, buffer amplifiers V1k, V2k form an autocorrelation unit AKE. The latter  
10 may, for example, also comprise the remainder of the delay lines LZ1, LZ2, the electrical power divider LTE and the amplifier V. An autocorrelation unit AKE1 can be monolithically integrated in a space-saving manner on a semiconductor chip, e.g. in SiGe, GaAs or InP.

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In practice, the taps give rise to losses on the delay lines LZ1, LZ2. However, since the input signals of all the EXOR gates traverse, in total, the same number of taps, i.e. upon addition of the traversed taps on line  
20 LZ1 and the traversed taps on LZ2, and, given a suitable design, also traverse line portions that are of the same length, in total, the product of the attenuation factors which these input signals experience is constant. This is true even in the  
25 absence of buffer amplifiers V1k, V2k. This advantageously has the result that the output signals of the different EXOR gates EXj correspond, with at least approximately the same proportionality factor, proportionally to the value of the autocorrelation  
30 function which corresponds to the respective delay.

In the exemplary embodiment of Figure 1 the signal delays between the outputs of the electrical power divider LTE and the taps A11 and A21 respectively,  
35 shall be identical. In this way, the value AKF1 of the autocorrelation function of the baseband signal BB for delay zero is produced at the output of the low-pass

filter LP1. Between adjacent tap points  $A_{1k}$  and  $A_{1(k+1)}$  ( $k = 1 \dots n-1$ ) the signal delays shall be identical

The figure consists of 12 sub-diagrams labeled (a) through (l), arranged vertically. Each diagram shows a different stage in the construction of a 3D model of a human head and neck. The process starts with a simple head outline in (a) and gradually adds more detail, including facial features, neck, and torso, through the subsequent stages. The final model in (l) is a complete 3D representation of a human head and neck, showing the face, neck, and upper torso.

and have the value  $DT_1$ . Between respectively adjacent tap points  $A_2(k+1)$  and  $A_2k$  ( $k = 1 \dots n-1$ ), the signal delays shall be identical and have the value  $DT_2$ . Since the delay lines  $LZ_1$ ,  $LZ_2$  are traversed in opposite directions in the region of the EXOR gates, the value  $AKF_2$ ,  $AKF_3$ , ...  $AKF_n$  of the autocorrelation function of the baseband signal  $BB$  for delays  $DT$ ,  $2*DT$ , ...,  $(n-1)*DT$ , where  $DT = DT_1+DT_2$ , is respectively produced at the outputs of the remaining low-pass filters  $LP_2$  ...  $LP_n$ . In order to minimize the chip area, it is advantageous to choose  $DT_1 = DT_2$ . It is furthermore favorable to choose  $DT$  to be equal to or shorter than a symbol duration  $T$  of the baseband signal  $BB$ . In the case of the binary signals usually used, a symbol duration  $T$  is equal to a bit duration. Since the autocorrelation function of a real signal has even symmetry, it is possible to dispense with the measurement of the values of the autocorrelation function with opposite delays. The maximum delay  $(n-1)*DT$  should, if possible, be at least equal to the sum of a differential group delay - caused by PMD - of the optical transmission link and the differential group delay generated by the PMD compensator PMDC.

The outputs of the low-pass filters  $LB_j$  are fed to a regulator  $R$ . An autocorrelation function  $AKF$  sampled by values  $AKF_1 \dots AKF_n$  is thus present here. If PMD is present and is not equalized, the value  $AKF_1$  is often smaller than the maximum possible value and the values  $AKF_2 \dots AKF_n$  differ from zero even when they correspond to delays  $DT \dots (n-1)*DT$  greater than a symbol duration  $T$  of the baseband signal. Such a poor autocorrelation function  $AKFBAD$  is shown by Figure 2. Only half of the autocorrelation function is shown since, after all, said autocorrelation function is symmetrical, so that measurement of the other half is unnecessary.



The regulator R adjusts the control signals SPMD of the PMD compensator PMDC in such a way that the autocorrelation function

is at least approximately equal to the autocorrelation function of the undistorted baseband signal. In the case of NRZ signals, this is a triangular pulse centered about delay zero, which pulse reaches the value zero for a delay of one bit duration  $T$  and remains there for longer delays. Such a good autocorrelation function AKFGOOD is also shown by Figure 2. In this case, the value AKF1 is maximal and the values AKF2 ... AKFn are at least approximately equal to zero when the delays  $DT \dots (n-1)*DT$  are at least as long as a symbol duration  $T$  of the baseband signal. This applies to the values  $2*DT \dots (n-1)*DT$  in Figure 2. PMD is ideally equalized in this case. An ideally equalized optical signal therefore appears at the optical output OUT.

The optical power divider LT can also be omitted, so that the PMD compensator PMDC is directly connected to the photodiode PD on the output side. In this case, the electrical power divider LTE, as shown in Figure 1, should have a further electrical output LTEOR. An electrical data regenerator (often called 3R regenerator) REG is connected to said electrical output LTEOR. A regenerated data signal which at least approximately has no bit errors through PMD is available at the output OD of said regenerator.

Figure 3 shows a further exemplary embodiment of the device for PMD detection. Only the autocorrelation unit AKE of Figure 1 and a power divider LTE are shown here. In Figure 3, the signal flow directions of the delay lines LZ1, LZ2 along the EXOR gates are not opposite, as in Figure 1, but rather unidirectional. This can also be seen from the opposite positioning of the terminating resistor R2 and the opposite orientation of the buffer amplifiers V2j. As in Figure 1, buffer amplifiers are not absolutely necessary, or may be provided e.g. only at some points.

In Figure 3, time delay DT1 shall be defined in the same way as in Figure 1. Between respectively adjacent tap points A2k and A2(k+1) ( $k = 1 \dots n-1$ ) of Figure 3, the signal delays shall be identical and have the value DT3.

- 5 The delay differences between the inputs of successive correlators are therefore 0, DT, 2\*DT ... (n-1)\*DT where DT in this case has the value  $DT = DT1 - DT3$ . In order to obtain different DT1, DT3, detour lines  $U_m$  ( $m = 2 \dots n$ ) are provided.

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- Instead of tapped delay lines LZ1, LZ2, it is also possible to use a plurality of delay lines LZ1j, LZ2j ( $j = 1 \dots n$ ) of different lengths. To that end, the power divider LTE must have a corresponding number of
- 15 outputs. A suitable exemplary embodiment where  $n=4$  is sketched in Figure 4. The delay lines LZ1j, LZ2j end at those points A1j, A2j which are connected to the EXOR gate inputs and were the tap points in Figures 1 and 2. The delay differences between the point pairs (A11, A21), (A12, A22), (A13, A23), (A14, A24) are 0, DT, 2\*DT and 3\*DT, respectively, where  $DT = DT1 + DT2$ .
- 20

- Figure 5 illustrates part of an exemplary embodiment with only one delay line LZ1. The points A1j, which are
- 25 connected to one EXOR gate input in each case, are strung along the delay line LZ1. The points A2j, which are connected to the other EXOR gate input in each case, all coincide and are identical to the point A11. Delay differences 0, DT, 2\*DT ... (n-1)\*DT between the
- 30 EXOR gate inputs are obtained in this way.

- In order to achieve an optimally low bit error rate, it is expedient for a measure of this bit error rate to be made available to the regulator R. This is possible in
- 35 a simple manner if an electrical regenerator REG is provided. It may therefore be expedient to provide a regenerator REG even in cases where power divider LT

and optical output OUT of the equalized optical signal are present. **Figure 6**

illustrates the regenerator REG. Clock recovery is generally necessary but is not illustrated here for reasons of clarity. The regenerated data signal DS appears at the output OD, which is also the output of a D flip-flop DFF, to which the baseband signal BB is fed on the input side. The baseband signal is likewise fed to a second decision circuit (D flip-flop) DFF2.

In this exemplary embodiment, the threshold of the decision circuit can be adjusted via a setting device EG to such an extent that said decision circuit already yields a data auxiliary signal DH affected by errors when the first decision circuit DFF still outputs an essentially error-free data signal DS. The output signals are compared with one another in an EXCLUSIVE-OR gate EXOR, and the error signal FS thus obtained is likewise fed to the regulator R for controlling the PMD compensator PMDC. A measure of how good the signal quality is with regard to a bit error rate that can be achieved is continuously developed by shifting the threshold of the second decision circuit by means of a setting device EG, which is controlled by the regulator R via a control signal ST2. The lower the error rate of the data auxiliary signal when the threshold is shifted from the optimum, the better the signal quality. Roughly, a maximum value of the autocorrelation function AKF1 for delay zero and zero values of the autocorrelation function for delays which are longer than a symbol duration T will also produce a minimum bit error rate. By contrast, a more accurate assessment which leads to a lower bit error rate of the decision circuit DFF is produced when the error signal FS is used. Since deviations of the data auxiliary signal DH from the data signal DS occur stochastically, however, a relatively long measurement or averaging time of the error signal FS is necessary in order to obtain a particularly good signal/noise ratio and hence optimal compensation. The additional information obtained with the aid of the second decision circuit is used to

adaptively modify the regulating algorithm of the regulator R, which performs the setting of the PMD compensator PMDC with the aid of autocorrelation

function measured values AKF1, AKF2, ... AKFn. By way of example, a slightly negative value AKF3 might be more favorable than the value zero. This adaptive form of operation appears to be particularly favorable for making manufacturing tolerances, temperature fluctuations, occurrence of nonlinear effects etc. tolerable. The major advantage of these embodiments is that, through the measured values of the autocorrelation function, rapid PMD compensation is already possible and sufficient time is available for the fine setting and the setting of the transfer function of the filter.

However, it is also possible to use only an error signal FS, particularly in cases where fast setting of the PMD compensator PMDC is not important. In this case, electrical power divider LTE and autocorrelation unit AKE and low-pass filters LPj may be omitted.

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Patent claims

1. A device for detecting polarization mode dispersion of an optical data signal (OS) by evaluating an electrical baseband signal (BB), characterized in that at least one multiplier (EX<sub>j</sub>;  $j = 1 \dots n$ ) is provided, which calculates a value (AKF<sub>j</sub>;  $j = 1 \dots n$ ) of the autocorrelation function (AKF) of the baseband signal (BB) by multiplication of a value of the baseband signal (BB) by a delayable value of the baseband signal and subsequent averaging in an averaging device (LP<sub>j</sub>;  $j = 1 \dots n$ ).
2. The device as claimed in claim 1, characterized in that a delay line (LZ1, LZ2) with taps (A1<sub>j</sub>, A2<sub>j</sub>;  $j = 1 \dots n$ ) is provided, in that taps (A1<sub>j</sub> and A2<sub>j</sub>) with different delays (0, DT, 2\*DT, ... (n-1)\*DT) are respectively connected to the inputs of a multiplier (EX<sub>j</sub>).
3. The device as claimed in claim 2, characterized in that two delay lines (LZ1, LZ2) are provided, through which, in the region in which they exhibit a mutual assignment via the inputs of multipliers (EX<sub>j</sub>), said baseband signal (BB) runs in opposite directions, so that the delays (DT1, DT2) occurring between adjacent multipliers (EX<sub>k</sub> and EX<sub>(k+1)</sub>;  $k = 1 \dots n-1$ ) are added to form a delay difference ( $DT = DT1 + DT2$ ) between said multipliers.
4. The device as claimed in claim 2, characterized



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in that two delay lines (LZ1, LZ2) are provided,  
which, in the region in which they exhibit an  
assignment via the inputs of multipliers

(EX<sub>j</sub>), are traversed in the same direction, so that the delays (DT<sub>1</sub>, DT<sub>3</sub>) occurring between adjacent multipliers (EX<sub>k</sub> and EX<sub>(k+1)</sub>; k = 1 ... n-1) are subtracted from one another to form a delay difference (DT = DT<sub>1</sub> - DT<sub>3</sub>) between said multipliers.

5. The device as claimed in claim 1, characterized in that a plurality of delay lines (LZ<sub>1j</sub>, LZ<sub>2j</sub>; j = 1 ... n) of different lengths are provided, to whose ends (A<sub>1j</sub>, A<sub>2j</sub>; j = 1 ... n) the inputs of multipliers (EX<sub>j</sub>) are connected.

6. The device as claimed in one of claims 2 to 5, characterized in that a detour line (U<sub>m</sub>; m = 2 ... n) or a buffer amplifier (V<sub>1j</sub>, V<sub>2j</sub>; j = 1 ... n) is provided in a delay line (LZ<sub>1</sub>, LZ<sub>2</sub>, LZ<sub>1j</sub>, LZ<sub>2j</sub>; j = 1 ... n).

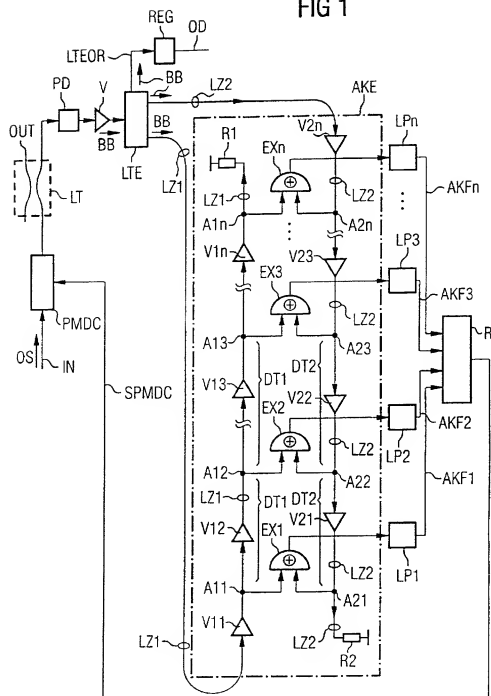
7. The device as claimed in one of claims 2 to 6, characterized in that delays (0, DT, 2\*DT, ... (n-1)\*DT) that occur are equidistant with a constant delay difference (DT).

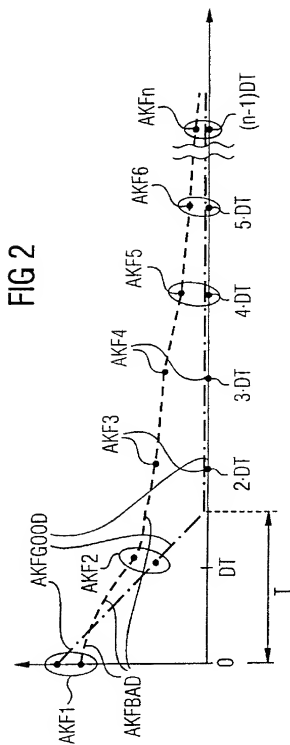
8. The device as claimed in one of claims 2 to 7, characterized in that a delay difference (DT) is at least approximately equal to a symbol duration (T) of the baseband signal (BB).

9. The device as claimed in one of the preceding claims, characterized in that provision is made of a regulator (R) for controlling a PMD compensator (PMDC).

10. The device as claimed in claim 9,  
characterized  
in that the regulator (R) at least approximately  
maximizes a non-delayed value (AKF1) of the  
autocorrelation function and adjusts values (AKF2,  
AKF3 ... AKFn) of the autocorrelation function  
that are delayed by at least one symbol duration  
(T) at least approximately to the value zero.
11. The device as claimed in one of the preceding  
claims,  
characterized  
in that provision is made of a measuring  
arrangement (EG; DFF2; EXOR) for measuring the bit  
error rate in the event of an intentionally  
impaired reception signal or a changed threshold  
value of a second decision stage (DFF2), whose  
error signal (FS) controls a PMD compensator  
(PMDC) via a regulator (R).
12. The device as claimed in claim 11,  
characterized  
in that the regulator (R) is used additionally for  
adaptively setting the values of the  
autocorrelation function (AKFj; j = 1 ... n) that  
are to be sought.
13. The device as claimed in one of the preceding  
claims,  
characterized  
in that the multiplier (EXj) is an EXOR gate or a  
Gilbert multiplier

FIG 1





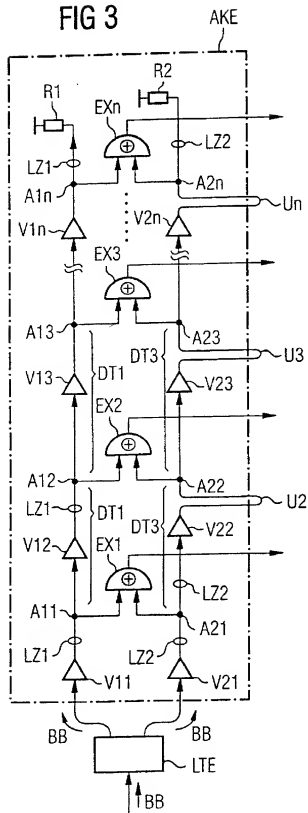


FIG 4

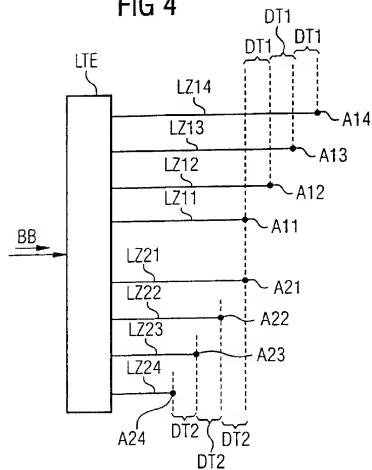


FIG 5

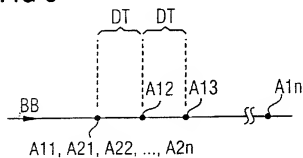
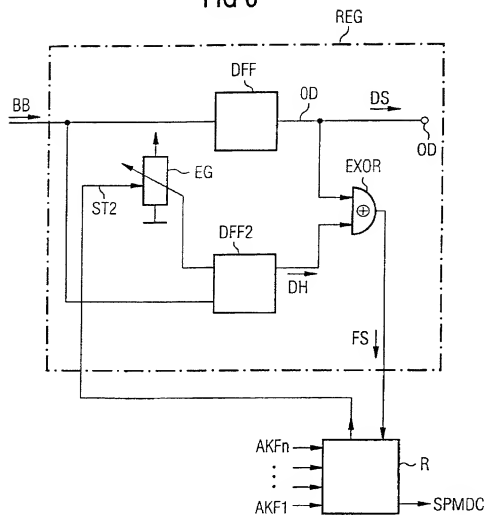


FIG 6





**Declaration and Power of Attorney For Patent Application**  
**Erklärung Für Patentanmeldungen Mit Vollmacht**  
 German Language Declaration

Als nachstehend benannter Erfinder erkläre ich hiermit an Eides Statt:

As a below named inventor, I hereby declare that:

dass mein Wohnsitz, meine Postanschrift, und meine Staatsangehörigkeit den im Nachstehenden nach meinem Namen aufgeführten Angaben entsprechen,

My residence, post office address and citizenship are as stated below next to my name,

dass ich, nach bestem Wissen der ursprüngliche, erste und alleinige Erfinder (falls nachstehend nur ein Name angegeben ist) oder ein ursprünglicher, erster und Miterfinder (falls nachstehend mehrere Namen aufgeführt sind) des Gegenstandes bin, für den dieser Antrag gestellt wird und für den ein Patent beantragt wird für die Erfindung mit dem Titel:

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Einrichtung zur Detektion von  
Polarisationsmodendispersion

Device for detecting polarization mode  
dispersions

deren Beschreibung

the specification of which

(zutreffendes ankreuzen)

(check one)

☐ hier beigefügt ist.

☐ is attached hereto.

☒ am 14.04.2000 als

☒ was filed on 14.04.2000 as

PCT internationale Anmeldung

PCT international application

PCT Anmeldungsnummer PCT/DE00/01175

PCT Application No. PCT/DE00/01175

eingereicht wurde und am

and was amended on

abgeändert wurde (falls tatsächlich abgeändert).

(if applicable)

Ich bestätige hiermit, dass ich den Inhalt der obigen Patentanmeldung einschliesslich der Ansprüche durchgesehen und verstanden habe, die eventuell durch einen Zusatzantrag wie oben erwähnt abgeändert wurde.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

Ich erkenne meine Pflicht zur Offenbarung irgendwelcher Informationen, die für die Prüfung der vorliegenden Anmeldung in Einklang mit Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) von Wichtigkeit sind, an.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

Ich beanspruche hiermit ausländische Prioritätsvorteile gemäss Abschnitt 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 119 aller unten angegebenen Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde, und habe auch alle Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde nachstehend gekennzeichnet, die ein Anmeldedatum haben, das vor dem Anmeldedatum der Anmeldung liegt, für die Priorität beansprucht wird.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

# German Language Declaration

Prior foreign applications  
Priorität beansprucht

Priority Claimed

19929673.1

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28.06.1999

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(Number)  
(Nummer)

(Country)  
(Land)

(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

Yes  
Ja

No  
Nein

(Number)  
(Nummer)

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(Tag Monat Jahr eingereicht)

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Yes  
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No  
Nein

(Number)  
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(Land)

(Day Month Year Filed)  
(Tag Monat Jahr eingereicht)

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Yes  
Ja

No  
Nein

Ich beanspruche hiermit gemäss Absatz 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 120, den Vorzug aller unten aufgeführten Anmeldungen und falls der Gegenstand aus jedem Anspruch dieser Anmeldung nicht in einer früheren amerikanischen Patentanmeldung laut dem ersten Paragraphen des Absatzes 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 122 offenbart ist, erkenne ich gemäss Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) meine Pflicht zur Offenbarung von Informationen an, die zwischen dem Anmeldedatum der früheren Anmeldung und dem nationalen oder PCT internationalen Anmeldedatum dieser Anmeldung bekannt geworden sind.

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §122, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

PCT/DE00/01175

(Application Serial No.)  
(Anmeldeseriennummer)

14.04.2000

(Filing Date D, M, Y)  
(Anmeldedatum T, M, J)

anhängig

(Status)  
(patentiert, anhängig,  
aufgegeben)

pending

(Status)  
(patented, pending,  
abandoned)

(Application Serial No.)  
(Anmeldeseriennummer)

(Filing Date D,M,Y)  
(Anmeldedatum T, M, J)

(Status)  
(patentiert, anhängig,  
aufgeben)

(Status)  
(patented, pending,  
abandoned)

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# German Language Declaration

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